DEPARTMENT OF THE NAVY
Smart Card
CONFIGURATION MANAGEMENT PLAN

CMP 1.2
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EXECUTIVE SUMMARY

The Department of the Navy is interested in all uses and reuses of smart card technology. The DON Smart Card Configuration Management Plan (CMP) establishes the process to evaluate, approve, and implement all smart card technology proposals under the purview of the Department of the Navy Chief Information Officer. DOD Common Access Cards (CAC) are the most prolific users of smart card technology and are emphasized in this document. This document supplements the Department of Defense CAC CMP regarding the submission of CAC Change Request Proposals (CRPs). Submission of proposals in support of smart card systems other than the CAC are encouraged.

OSD memo, Subject: Common Access Card, dated January 16, 2001 directed that the CAC be the standard identification card (ID) for active duty military personnel, Selected Reserve, National Guard, Department of Defense civilian employees and eligible contractor personnel. It will be the principal card used to enable physical access to controlled spaces as well as provide a means to gain access to the Department's computer networks and systems utilizing Public Key Infrastructure (PKI) authentication mechanisms. In addition, it will be used to enhance readiness and improve business processes.

This document provides background and guidance for Navy and Marine Corps activities, organizations, units or other potential users to submit change request proposals through CNO N61 or HQMC C4/CIO, as appropriate, to use smart card technologies. Primary emphasis will be placed on use of integrated circuit chip (ICC) technology, but will not exclude printed material, code 39 or PDF 417 bar codes, or the magnetic stripe.

Most of the CAC ICC capacity is designated within the DOD area (e.g. DOD domain), and is intended for DOD-wide use, for example, demographics, PKI, card operating system, etc. Space is available for DON specific usage. DON chip memory may be allocated for DON enterprise, USN-specific, or USMC-specific initiatives. The DON Smart Card Configuration Control Board (SC CCB) shall manage the configuration of all smart cards within the DON while championing the migration of any duplicative Service-unique allocation requests towards DON enterprise use. CNO N61 and HQMC C4/CIO will represent respective Navy and Marine Corps Service interests on the SC CCB. All DON enterprise initiatives shall require unanimous consent from the SC CCB members.

The USN and USMC may establish Service-specific configuration management processes. These processes must comply with the overall DON Configuration management Plan, and the results of any Service-specific process will be an allocation request submitted to the SC CCB via the DON eBusiness Operations Office (EBUSOPSOFF). The eBUSOPSOFF will chair and make recommendations to the SC CCB for final DON disposition based on proposal content. Sponsors of CRPs are advised to avoid expenditure of funds for development prior to approval of their CRP.

The CMP addresses the process to assimilate prospective DON uses that may impact the smart card platform (data elements, operating systems, applications, and interfaces). It is the Department’s vision to use smart cards as authentication tools for web based transactions. Every effort will be made to minimize the amount of data stored on cards rather than use them as extensive portable data carriers. Proposed uses of future

technologies enabled by smart cards, such as contactless chip, biometrics, etc., will also require adherence to this process.

CRPs having potential for DOD applicability will be endorsed by the DON SC CCB, and forwarded to the DMDC ACO for staffing through various working groups for evaluation of policy and technical considerations prior to submission to the DOD Smart Card Senior Coordinating Group (SCSCG). Likewise, CRPs for "Reading and Writing" to the DOD portion of the CAC chip require DON SC CCB endorsement, and SCSCG approval. Proposals to use the CAC as a "Read-only" device require only registration with the DON SC CCB. Similarly, using the CAC as a "Read/Write" device without change to the existing ICC data structure will only require registration with the DON SC CCB. "Read/Write" proposals involving changes to the DON specific area of the CAC ICC require only DON SC CCB approval. CRPs requiring any kind of modification to the CAC platform or its resident technologies will require both DON SC CCB endorsement and SCSCG approval.

Documentation supporting CRPs will include designation of a sponsor, a concept of operations, systems considerations, and business case analysis as appropriate. The DON SC CCB will evaluate each proposal's potential for enterprise-wide value and either approve the proposal for DON, or Navy or USMC use, or endorse it for potential DOD implementation. For urgent matters, the DON review and evaluation process will be completed within 30 working days. Development, procurement, and implementation schedules will be expedited to the maximum extent possible. Routine proposals should proceed through the DON review and evaluation phase within 60 working days.

1.0 Overview

1.1 Purpose

1.1.1 The Department of the Navy Smart Card Configuration Management Plan (CMP) supplements the DOD CAC CMP available at www.dmdc.osd.mil/smartcard. It is provided for Commands considering use of smart card technology to enhance readiness and improve business processes. The DON SC CMP provides guidance, outlines roles and responsibilities, and defines the process that facilitates the evaluation of proposals for initiating enhanced functionality and use of smart card technology. It is also intended that potential benefits of reusing current state smart card technology be realized to its maximum practical extent.

1.1.2 Process users are encouraged, through their chain of command, to use this CMP as a guide to promote uses of smart card technology that have the potential for significant business process improvement. The DON eBUSOPSOFF SC/CAC Program Office, www.don-ebusiness.navsup.navy.mil, may be contacted at cacfacts@navsup.navy.mil for consultation regarding this plan and the Change Request Proposal (CRP) process.

1.2 Background

1.2.1 Pursuant to the National Defense Authorization Act for fiscal year 2000, October 5, 1999, Congress identified the DON as the lead service for smart card technology throughout the Department of Defense. The Act directed the Secretary of Defense to establish a Smart Card Senior Coordinating Group (SCSCG), chaired by the DON Chief Information Officer (CIO) to develop and implement Department-wide interoperability standards for use of smart card technology and a plan to exploit smart card technology as a means to enhance readiness and improve business processes.

1.2.2 The CAC will serve as the personal identification card and primary token for both physical and logical access throughout DOD, as directed by DOD Directive 8190.3, 31 August 2002, Subject: Smart Card Technology. The use and exploitation of smart card technology within the DOD will target means for enhancing deployment processing, personnel readiness, physical and logical access, and improving business processes. Directive 8190.3 also directs the DOD Chief Information Officer to serve as the Principle Staff Assistant for smart card technology and provide overall policy, oversight, and direction for applying smart card technology throughout DOD missions and functions. In addition, the DOD CIO will ensure the integration and interoperability of cross-functional requirements, approve the allocation of space for data elements for joint applications, and space for DOD Component use on CAC storage media based on recommendations from the SCSCG.

1.2.3 Baseline functionality for the CAC is to:

1) Provide identification of the targeted population
2) Enable logical access to the Department's computer systems and networks
3) Enable physical access to buildings and controlled spaces.

1.2.4 In addition to the integrated circuit chip (ICC), CACs issued to date have a linear (Code 39) barcode, a two dimensional (Portable Data File (PDF) 417) bar code, magnetic stripe, and printed information as required by the Geneva Conventions and DOD Instruction 1000.1 for the Uniformed Services Identification Cards. A DOD Topology Working Group

recommended the physical appearance of the card approved by the SCSCG. The configuration of the Integrated Circuit Chip (ICC) was recommended by the Chip Allocation Technical Working Group (CAT WG) and approved by the SCSCG. The DOD eB BOD approved the recommendations from the SCSCG for the CAC design and chip allocation. Currently, DMDC's Configuration Control Working Group (CCWG) and Technical Integration Working Group (TIWG) staff DOD Change Request Proposals, and ICC technical issues respectively. Their recommendations are submitted to the SCSCG for approval.

1.2.5 The DOD CMP provides policy and procedures for Functional Community Panels and Components involved in the development of Department-wide smart card applications and the smart card platform as they pertain to the CAC. DOD controls the majority of the total capacity of the CAC ICC. The DOD CMP establishes that each Component will have an area on the chip (i.e., designated amount of EEPROM/memory) that can be used for functionality, as the Component deems appropriate. The initial DOD Component specific space is 7 Kilobytes of the 32 Kilobyte CAC integrated circuit chip.

1.3 Applicability

1.3.1 This plan applies if a user has a requirement for <u>any</u> of the following:

1) Use of the smart card as a Component, USN-specific, or USMC-specific "Read only" device
2) Use of the smart card as a "Read/Write" device
3) Proposals requiring modifications to the smart card

1.3.2 The smart card will be used as the platform of choice for new technologies requiring identification and/or authentication for Information Assurance purposes. It will be used as both a card-centric and web-centric medium. Rules and guidelines for configuration management and the process by which applications and data become resident on the CAC have become a necessary extension of DOD Directive 8190.3.

1.3.3 This plan does not apply if a user has a requirement to modify any aspect of the technology, operation, or enablers of the Public Key Infrastructure (PKI) residing on the smart card. For example, web-based applications requiring authentication using PKI certificates on a smart card are not within the purview of this plan. CNO N61 or HQMC C4/CIO are initial points of inquiry for issues influencing the delivery or operation of CAC PKI functionality.

1.3.4 The CRP process presented in this CMP extends to all prospective uses of media on the smart card, including migration of legacy applications to the smart card, but excluding PKI application development. Applicability extends to future version updates of smart card functionality previously submitted for approval only if the smart card interface and/or use of data elements are modified.

1.3.5 Proposed use of the component space (DON, USN, or USMC) to store new PKI related data (e.g., additional certificate, key history, etc.) fall under the purview of this plan.

1.3.6 This plan does not apply to preparatory activities related to the approval, development, or evaluation of demonstrations or pilots.

1.3.7 Documentation will be required from submitting entities that outlines how candidate applications improve mission and/or quality of life, and expected savings. Each submission

must address warfighter and/or business benefit derived from the attainment of validated requirements. In addition, issues of technical feasibility, scalability, cost, secondary benefits, mission enhancement, quality of life, testing, implementation complexity, and others must be described in as much detail as is possible. No single criteria or decision approach will be applied as a determining factor for final approval. Therefore, even though cost savings may not be immediately projected, mission or quality of life enhancements attributed to a candidate application will be considered in the approval process.

1.3.8 Upon CRP review, it may be determined that smart card technology cannot, or is not appropriate to, support a specific application. This may be the result of numerous issues, such as chip capacity, element(s) not supported in current data model, unsupported media, concept of operations etc. If it is determined that the smart card technology cannot, or is not appropriate to support the proposed use, DON eBUSOPSOFF, CNO N61, and HQMC C4/CIO will recommend options for further action.

1.4 Assumptions

1.4.1 The term “application” is defined as a specific set of ordered operations designed to perform a specific function directly for the user or, in some cases, for another application program. Use of this term does not refer to the act of “applying” for an initial or renewed smart card.

1.4.2 The DON configuration management process to evaluate and select uses for smart cards will be based on a uniformly applied evaluation process. Measures of effectiveness and performance criteria will be standardized to the greatest extent possible for all CRPs. As voting members of the DON Smart Card Configuration Control Board, CNO N61, and HQMC C4s will have an essential role in the proposal evaluation process.

1.4.3 Each DOD Component has been allocated a limited amount of Electrically Erasable Programmable Read Only Memory (EEPROM) space within the ICC of the CAC for their use. As future, higher capacity, versions of the CAC are available; DOD Component specific space may increase to satisfy validated requirements. ICC space for DOD “Read Only” data elements and the operating system of the card consume the majority of the space on the ICC.

1.5 Scope

1.5.1 Process users may initiate the process provided via the chain-of-command through Service smart card advocates (CNO N61 and HQMC C4/CIO) and coordinated staffing with Navy echelon 2, and USMC major commands. This process will result in: 1) Approval and recording of proposed change request by the DON for the Navy, and/or Marine Corps, 2) Registration with DMDC of intent to use DON specific ICC space, 3) DMDC recommendation to SCSCG for functionality affecting DOD, or 4) Explanation, with recommendation, to requestor of truncation of the process.

1.5.2 The CM process will be applied to smart card enabled applications (both card and web-centric) and the attendant programming that brings together their middleware, and application program interfaces (APIs). Application development includes building the necessary interfaces to legacy systems. The configuration management of an application includes identification of changes to systems that may impact interfaces through the use of interface agreements and/or documented requirements specifications. These interface changes are the responsibility of the functional owner of the smart card enabled application.

1.5.3 Proposals requesting use of a smart card as a “Read-Only” device only require notification of the DON eBUSOPSOFF for registration and cataloging purposes. Given that modifications to the smart card and its infrastructure will not be requested for read-only usage, an approval process is not required; however a notification process, by submission of the Smart Card Change Request Proposal form, Appendix B, sections 1 through 19, is required.

1.5.4 Modifications that involve ‘Reading and Writing’ to only the DON component portion of the ICC require DON SC CCB approval. Modifications that involve any portion of the DOD domain of the ICC require DON SC CCB endorsement and DOD SCSCG approval. Similarly, proposals that require any kind of modification to the CAC platform or technologies residing on it require DON SC CCB endorsement and DOD SCSCG approval.

2.0 Roles and Responsibilities

2.1 Introduction

2.1.1 The purpose of configuration management is to coordinate efforts within the Department of the Navy to make use of maturing smart card technology. The intent of this section is to clearly define roles and expectations of process stakeholders for the purpose of identifying, evaluating, selecting, and fielding high value use of smart card technology. These roles formalize the process required once mission-supporting CRPs have been initiated.

2.2 DON Roles and Responsibilities

2.2.1 Process Users

This CMP encourages representation, communication, and involvement throughout the chain-of-command. Process users are considered those who operate systems, patrons of systems, and managers of systems at the transactional level. Users have the responsibility to:

- Suggest additional or enhanced uses of smart card technology such that business process accountability, security, and efficiency may be improved
- Describe, in writing, the nature of their suggestion in non-technical terms
- Provide rationale for a positive business-case result
- Initiate action and seek endorsement of smart card enhancing suggestions through the chain-of-command to service stakeholders
- Provide initial and sustainment support, as appropriate.

2.2.2 Functional Managers

USN or USMC functional managers and/or DON Functional Area Managers that desire to utilize smart card technology in their business areas should contact their CNO N61 or HQMC C4/CIO, DON SC CCB representative to begin the Change Request Proposal process. CNO N61 and HQMC C4/CIO shall be central liaisons for smart card policy and oversight for their respective Services.

2.2.3 CNO N61 and HQMC C4/CIO Stakeholders

Service stakeholders will coordinate relevant SCT-PKI activities within their chain of command to include:

- Participate and serve as members of the DON SC CCB.
- Coordinate SCT best practices to the maximum extent practical to improve both combat support capabilities and DON business operations.
- Ensure the insertion of SCT capabilities into the development, modernization, expansion or prototype of systems that interface with DON business partners and Functional Process Owners.
- Support the development and updating of the DON SCT Strategic and Implementation Plans.
- Develop, coordinate, and promulgate any additional CNO or CMC specific guidance needed to successfully implement SCT.

2.2.4 Department of the Navy eBusiness Operations Office (DON eBUSOPSOFF)

2.2.4.1 The DON eBUSOPSOFF is responsible for coordinating the development of all change request proposals, providing recommendations and forwarding them to the DON Smart Card Configuration Control Board. The DON eBUSOPSOFF serves as the DON smart card advocate to promote and develop implementation plans for:

- Exploiting the capability of SCT to enhance readiness and improve business processes.
- Interfacing with the DOD smart card program.
- Coordination, as appropriate, with DON CIO, CNO N61, and HQMC C4.

2.2.4.2 In addition, the DON eBUSOPSOFF will:

- Serve as the Chair of the DON SC CCB, reporting to DON CIO.
- Implement DON SCT and *e*Business efforts to make DON IT and business processes more efficient and effective.
- Provide Smart Card- pilot, prototype coordination and technical support.
- Manage CAC-SC fielding and provide technical direction and integration support to assist field activities with implementing SCT.
- Assist field activities implementing SCT with technical direction and integration consultation.
- Provide space allocation request material and recommendations to members of the DON Smart Card Configuration Control Board for review and approval.
- Maintain technical documentation on SCT and document all aspects of the DON-specific space on the CAC.
- Work with the Chief of Information (CHINFO) to provide Public Affairs guidance and material to DON sites receiving the CAC.
- Recommend configurations of SC technologies and integrated solutions to DON CIO, DON policy makers and functional managers.
- Provide advice to the DON on CAC-SCT by conducting and documenting market research and environmental scanning.
- Develop a process to identify and invest in pilot projects to foster implementation of CAC-SCT solutions throughout DON.
- Create and maintain a SCT information website to serve as a focal point where SCT users can direct questions and concerns.

2.2.5 DON Smart Card Configuration Control Board

The DON Smart Card Configuration Control Board (DON SC CCB) is comprised of members from DON eBUSOPSOFF, CNO N61, and HQMC C4, and shall provide oversight for smart card configuration management and insure consistency among DON smart cards. The DON SC CCB is the decision-making body for how smart card technology will be used.

- The DON EBUSOPSOFF shall chair and facilitate the activities of the DON SC CCB.
- Unanimous approval by the DON SC CCB is required for requests to be either approved or favorably endorsed for ultimate approval by the SCSCG.

- This board shall report to the DON CIO. Any issues that require further attention shall be brought to the DON CIO for resolution.
- The DON EBUSOPSOFF shall provide space allocation request material and recommendations to members of the DON SC CCB for review and approval. All allocation requests shall contain appropriate assessment material such as information on the purpose of the request, a business case analysis of the initiative, the name of the initiative sponsor, a risk assessment, and an illustration of the funding stream.
- The Chair of the DON SC CCB shall coordinate with DON CIO a review of all approved space allocation requests prior to submission to the DMDC ACO.
- The Chair of the DON SC CCB shall provide periodic updates on the CCB's activities to the DON CIO.

2.3 DOD Roles and Responsibilities

2.3.1 Summary Statement

2.3.1.1 The DOD Configuration Management Plan is available at www.dmdc.osd.mil/smartcard. The DON CMP supplements the DOD CAC CMP. The purpose of the DOD CAC CMP is to assure coordination of DOD efforts to make use of maturing smart card technology as different functional uses are defined. Change request decisions may be made at several levels depending on their effect on DOD smart card program interoperability.

2.3.1.2 Detailed DOD level roles and responsibilities for the Electronic Business Board of Directors (eB BOD), Smart Card Senior Coordinating Group (SCSCG), Principal Staff Assistants (PSAs), Functional Community Panels (FCPs), Life Cycle Managers (LCMs), Defense Manpower Data Center Technical Agent (DMDC TA), and DMDC Access Card Office (ACO) are provided within the Configuration Management section of www.dmdc.osd.mil/smartcard. Charter documents for the eB BOD, SCSCG, and DMDC ACO may also be found at this site. Abbreviated roles and responsibilities for the SCSCG, DMDC ACO, and DMDC TA are provided below.

2.3.2 Smart Card Senior Coordinating Group (SCSCG)

The SCSCG established by Public law 106-65, October 5, 1999, is chartered to develop interoperability standards and coordinate use of the CAC in conjunction with senior functional and operational managers responsible for those missions and functions. The SCSCG is responsible for recommending changes to the eB BOD regarding use of the Department-wide CAC platform. The SCSCG will charter ad hoc, and working groups, such as the Configuration Control Work groups (CCWG) to evaluate and submit recommendations for decision-making purposes. The SCSCG will review and recommend approval of Component unique applications to DOD CIO only if testing results in an impact to other applications or the CAC platform.

2.3.3 Defense Manpower Data Center, Access Card Office (DMDC ACO)

2.3.3.1 DMDC ACO, as Executive Secretary, is responsible for coordinating all change requests forwarded to the SCSCG and DOD eB BOD for consideration. The DMDC ACO

will provide consolidated change reports and act as a central clearinghouse for CAC platform and application information.

2.3.3.2 The DOD CCWG, chaired by DMDC ACO, has been established to evaluate all completed CRPs, to include middleware specifications as a configurable item, submitted in accordance with the DOD CAC CMP and recommend disposition to the SCSCG. The ACO will coordinate policy assessment with the Defense Human Resources Activity (DHRA), and technical feasibility with the DMDC Technical Agent. Approved applications, DOD, DON, USN, or USMC will ultimately be registered with the ACO. This will allow all Components to identify duplicated efforts throughout the DOD and to revise requirements and spending plans. The DOD CCWG will provide recommendations to the SCSCG on all completed CRPs within 90 days of submission; and review, update, coordinate, and maintain DOD CAC middleware specifications.

2.3.4 Defense Manpower Data Center, Technical Agent (DMDC TA)

2.3.4.1 DMDC is the Technical Agent responsible for recommending the CAC platform baseline and the configuration management of the CAC platform (i.e., serve as the "platform LCM"). Major responsibilities of the DMDC TA include: Assuring forward and backward compatibility (if applicable) of new releases as technology matures; Testing Component-specific applications for impact on "baseline"; Activating Component-specific applications prior to loading to the CAC platform; and Keeping DOD abreast of new technologies, capabilities, products, and smart card standards development to meet functional needs.

2.3.4.2 The Technical Agent is responsible for evaluating technology associated with the CAC. They will develop and manage resources for evaluating smart card technology as it supports current and future requirements.

3.0 Change Request Proposal Process

3.0.1 The DON SC Change Request Proposal (CRP) process is diagramed in Figure 3-1. All uses of the smart card that have the potential to enhance Service and/or DON business practices will be considered. Appendix B provides the DON SC Change Request Proposal form and submission package content.

3.0.1.1 The process presented in Figure 3-1 has been established to support CRPs for both DON smart card, and DOD CAC Programs. CRPs for DON smart card initiatives, other than the CAC, will follow the fundamentals of Figure 3-1. The DON SC CCB, as the controlling authority, will utilize ad hoc members, and establish relationships external to DON dependent on requirements of the program supported.

3.0.1.2 Generally, CAC related submissions will be evaluated within one of three categories: 1) As "Read only" devices, 2) As "Read/Write" devices, and 3) Proposals requiring platform modifications. Table 3-1 provides a summary of required CRP endorsements and approvals. All submissions will use the DON SC CRP format as described in Appendix B regardless of category. For proposals requesting changes to function or data usage of the ICC, or modifications to any aspect of a smart card platform, all sections of the proposal format must be addressed, to include a Concept of Operations, System Considerations, and Business Case Analysis. Attachments to the CRP may be used if necessary. For "Read-only" and "Read/Write" use, not requiring a change to smart card function or data usage, only sections 1 through 19 are required.

3.0.1.3 Consultation with CNO N61 or HQMC C4, as appropriate, is recommended to agree upon the depth of coverage of supporting documentation. The complexity of the proposal, and potential for Component and Department-wide impact will determine the level of detail required throughout the submission package. Sponsors of CRPs are advised to avoid expenditure of funds for development prior to approval of their CRP. DOD and DON policy implications will be assessed throughout the CRP process.

3.1 Change Request Proposal Categories

3.1.1 Component Space "Read-Only" Proposals

"Read-Only" DON, or USN or USMC specific applications only require use of information existing on the card; these submissions do not involve changes to any part of the smart card. Once USN/USMC component proposals are reviewed by the DON eBUSOPSOFF, the CRP is forwarded, with recommendations, to the DON SC CCB for endorsement and approval to proceed to implementation. Although DON SC CCB approval for "Read-Only" use of DOD domain portions of the CAC is not required, a requirement remains for registration of the use with both the DON eBUSOPSOFF and DMDC ACO.

3.1.2 "Read/Write" Proposals

"Read/Write" proposals involve only the smart card ICC. CRPs supporting the CAC will be separated into those that request use of, or changes to, either the DON component ICC

space, and/or the DOD domain of the ICC. Once reviewed by the DON eBUSOPSOFF, CRP documentation is forwarded to the DON SC CCB, with recommendations, for further disposition.

3.1.2.1 DON SC CCB approves requests to modify the structure or use of the DON ICC space. The approved CRP package is forwarded to the DMDC ACO.

3.1.2.2 Read/Write transactions requiring no changes to the function or data usage of either the DON or DOD domains of the ICC do not require approval, however, registration, by submission of the Smart Card Change Request Proposal form, Appendix B, sections 1 through 19, with the DON eBUSOPSOFF is required.

3.1.2.3 DON SC CCB will endorse DOD ICC space requests. The endorsed CRP package is forwarded to the DMDC ACO for further policy and technical evaluation and recommendation to the SCSCG.

3.1.3 "Platform Modification" Proposals

"Platform Modification" proposals involve changes to SC physical characteristics, printed content, technology, or ICC specifications. If supported, these requests require endorsement by the DON SC CCB, and, in the case of the CAC, forwarding to the DMDC ACO for recommendation to the SCSCG.

Table 3-1: CRP Endorsement and Approval Matrix

			DOD	
Type of CRP	**DON SC CCB**	**DON CIO**	**DMDC ACO**	**SCSCG**
DOD Read Only	Register		Register	
DOD Read/Write	Endorse & forward	Review	Endorse & forward	Approve*
DON Read Only	Register	Review	Register	
DON Read/Write	Approve	Review	Register	
DON Smart Card	Approve	Review		
CAC Platform Change	Endorse & forward	Review	Endorse & forward	Approve

* Forward to USD P&R

3.2 DON SC CCB Reviews

3.2.1 The DON SC CCB will review CRP documentation on an as needed basis dependent on the number and complexity of proposals forwarded for consideration.

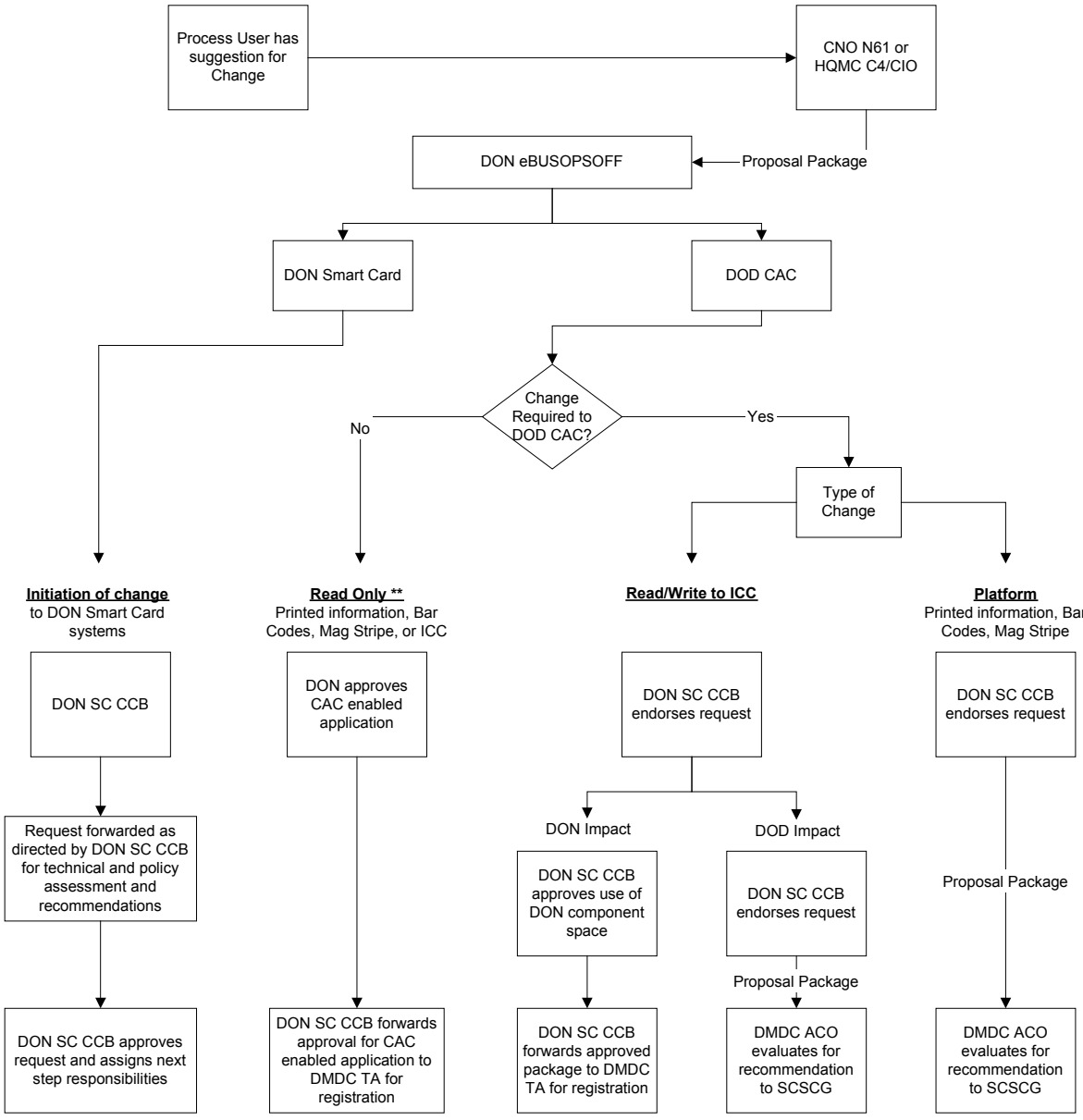
3.2.2 CRP documentation will be submitted on behalf of the DON SC CCB by DON eBUSOPSOFF to the DMDC ACO when there are Department-wide interests. Documentation will cover requirements affected by the smart card application, a business case analysis, interfaced applications, testing approach, and fielding methodology. All documentation will be available for review by interested parties.

3.2.3 Upon consideration of DON SC CCB recommendations, and final approval is granted by DON CIO, development of CRP "Read/Write" uses may continue. For DON CIO endorsed CRPs for the CAC, DON eBUSOPSOFF will coordinate further activities with platform technical agents as appropriate.

3.3 DOD/DON Policies

In addition to information requested for each prospective use of the smart card, CRP documentation must establish that proposed changes will adhere to DOD/DON directives and standards such as Defense Information Infrastructure Common Operating Environment (DII COE) http://diicoe.disa.mil/coe/ and Joint Technical Architecture (JTA) http://www-jta.itsi.disa.mil/.

Figure 3-1: CAC Application Proposal Process *



* In the event endorsement or approval cannot be supported, a full explanation will be provided to the submitting entity.
** Also includes Read/Write ICC transactions requiring no changes to function or data dictionary usage.

3.4 Change Request Proposal Content

All smart card proposals will utilize the DON Smart Card Change Request Proposal form as a coversheet to more detailed documentation. Instructions for the proposal form are provided in Appendix B. Suggested content of documentation accompanying the proposal is also provided in Appendix B. CNO N61 and HQMC C4/CIO, in conjunction with DON eBUSOPSOFF will determine the level of documentation detail required to support the proposal.

3.5 Evaluation and Selection

Each smart card proposal will be evaluated based on its anticipated impact on mission enhancement, cost, and quality of life. These three areas are the primary indicators of overall return on investment and justify implementation of the proposal by quantifying the benefits and presenting a business case for fielding functionality.

3.5.1 Mission Enhancement

Mission enhancement involves the elimination or transfer of specific processes or tasks, the reduction in time to complete a process or task. In some instances, the reduction or elimination of monetary costs may not affect actual realized savings, but will contribute to the overall ability to accomplish the mission. These less tangible and quantifiable reductions should be captured in this category. Process owners may be able to reallocate personnel from burdensome administrative functions to those more directly aligned to the mission. Further, improvements to employee job satisfaction may indirectly contribute to the mission and control operational costs due to higher re-enlistment rates and lower attrition.

3.5.2 Cost Savings

It is expected that cost analysis will be completed with as much detail as possible. Cost savings traditionally include monetary costs recognized and associated with time, labor, and assets used to complete specific tasks, processes, or sub-processes. Cost savings result from reducing both direct and indirect costs, made up of labor savings, material savings, and military end strength. For example, when establishing the cost of personnel services, several factors must be considered: e.g., number and ranks of personnel involved in providing the service, type and cost of legacy systems involved, timeliness of the information, audience for the information, information availability, information security, and accuracy goals. It is recognized that every smart card proposal will not have the potential for detailed analysis.

3.5.3 Quality of life improvements

Quality of life improvements are often intangible, but have a direct impact on the performance and morale of personnel. These improvements may include, but are not limited to, ease of use, accuracy, security, efficiency, and accountability. As these are the most difficult to quantify, it will be up to the application's sponsor and stakeholder to ensure that all quality of life improvements are thoroughly and accurately captured.

3.6 Testing, Approval, and Implementation

Formal testing will be conducted for any use of smart cards requiring the Write function to the ICC. Smart card testing, not involving the CAC, will be coordinated through the DON eBUSOPSOFF. CNO N61 and HQMC C4/CIO are responsible for oversight of field test

plan development for their respective Services. Sponsors and stakeholders are responsible for system-wide implementation upon successful field-testing. All CAC test plan development, and testing parameters will be performed with guidance from the DMDC ACO. A qualified government or commercial entity agreeable to the DMDC ACO will carry out CAC testing.

Appendix A: List of Acronyms

Abbreviation of Term	Explanation
ACO	DMDC Access Card Office
BCA	Business Case Analysis
CAC	Common Access Card
CAT WG	Chip Allocation Technical Working Group
CCWG	Configuration Control Working group
CIO	Chief Information Officer
COTS	Commercial Off-The-Shelf
CRP	Change Request Proposal
CM	Configuration Management
DEERS	Defense Enrollment Eligibility Reporting System
DHRA	Defense Human Resources Activity (DMDC)
DISA	Defense Information Systems Agency
DMDC	Defense Manpower Data Center
DOD	Department of Defense
DON	Department of the Navy
DON CIO	Department of the Navy Chief Information Office
DON eBUSOPSOFF	Department of the Navy Electronic Business Operations Office
DON SC CCB	DON Smart Card Configuration Control Board
eB BOD	eBusiness Board of Directors
EEPROM	Electrically Erasable Programmable Read-Only Memory
FCP	Functional Community Panel
HQMC C4CIO	Headquarters Marine Corps Command, Control, Communication, and Computers/Chief Information Office
ICC	Integrated Circuit Chip
LCM	Life Cycle Manager
OSD	Office of Secretary of Defense
PKI	Public Key Infrastructure

Abbreviation of Term	Explanation
POC	Point of Contact
POM	Program Objective Memorandum
RAPIDS	Real-Time Automated Personnel Identification System
SC	Smart Card
SCSCG	Smart Card Senior Coordinating Group
SEIWG	Security Equipment Integration Working Group
TA	Technical Agent (DMDC)
WG	Working Group

Appendix B: DON SC Change Request Proposal Form & Completion Instructions

DEPARTMENT OF THE NAVY
SMART CARD CHANGE REQUEST PROPOSAL

SECTION I TRACKING INFORMATION

1. DON CRP TRACKING NUMBER:

☐ New Request *(Tracking number assigned by eBUSOPSOFF): [YYYYMM-### Format]* _____

2. SERVICE TRACKING NUMBER _____

☐ Revision to Existing Request *(Provide CRP Tracking Number): [YYYYMM-### Format]* _____ **REVISION LETTER** _____

SECTION II SPONSORING ORGANIZATION INFORMATION

3. SUBMITTING ORGANIZATION AFFILIATION:

☐ U.S. Navy ☐ U.S. Marine Corps ☐ Department of the Navy ☐ Other: _____

4. SUBMITTING ORGANIZATION NAME

5. STREET ADDRESS 1	**6. STREET ADDRESS 2**	
7. CITY	**8. STATE**	**9. ZIP CODE**
10. SUBMITTING OFFICER FIRST NAME	**11. SUBMITTING OFFICER LAST NAME**	**12. DATE SUBMITTED**
13. COMMERCIAL TELEPHONE NUMBER	**14. WORK E-MAIL ADDRESS**	

SECTION III CHANGE REQUEST PROPOSAL INFORMATION

15. CRP TITLE

16. CRP CLASS:	**17. CRP PRIORITY:**	**18. SC CONFIGURATION ITEMS IMPACTED**
☐ Class I *(Provide Justification)*	☐ Urgent	☐ Integrated Chip ☐ Magnetic Strip
☐ Class II	☐ Routine	☐ Bar Code *(Code 39 or PDF 417)* ☐ Printed Media

19. DESCRIPTION OF CHANGE

☐ Read Only (includes Read/Write ICC transactions requiring no changes to function or data dictionary usage)
☐ Read/Write to ICC
☐ Platform Change

SECTION IV SUPPORTING DOCUMENTATION

20. ATTACHMENTS *(supporting documentation)*

☐ Concept of Operations
☐ System Considerations
☐ Business Case Analysis
☐ Other

21. Service Approval Process

	Organization	**Officer**	**Date**
1.			
2.			
3.			
4.			

22. SUBMITTING OFFICER SIGNATURE _____

23. DATE _____

DON Change Request Proposal Instructions

The DON SC CRP is to be used for any change that affects the information printed on the surface of the card, integrated circuit chip, bar codes, or magnetic strip. The following instructions are provided to assist the submitter of this worksheet and attachments in providing all the required information. Content should be as complete and accurate as possible.

Section I - Tracking Information (Box 1-2)

1. CRP Tracking Number: Select the appropriate box that indicates whether this is a new CRP or a revision to a previously submitted CRP. If this is a revision to an existing CRP, enter the original CRP tracking number in the space provided. New CRPs will be assigned a DON CRP tracking number by the DON eBUSOPSOFF. The format "YYYYMM-nnr" indicates year, month of receipt, monthly sequential number, and sequential revision letter ® starting with the first revision. This number will serve as a unique identifier for future reference.

2. Service Tracking Number: This shaded space will be used at the discretion of CNO N61 and HQMC C4/CIO.

Section II - Sponsoring Organization Information (Boxes 3 -14)

3. Submitting Organization Affiliation: Check the box that corresponds with the sponsoring organization requesting the change.

4 - 9. Submitting Organization Name and Address: Enter the name and address (Street Number & Name, City, State and Zip Code) of the sponsoring organization.

10 - 11. POC Information: Enter the name of the individual who is sponsoring the change request. This individual will serve as the main point of contact (POC) for the DON eBUSOPSOFF and is responsible for answering questions regarding the change request.

12. Date Submitted: Enter the date the CRP was submitted by the sponsoring organization.

13. Commercial Telephone Number: Enter the commercial telephone number for the POC specified in boxes 10-11.

14. Work E-Mail Address: Enter government e-mail address of the individual specified in boxes 10-11.

Section III – Change Request Proposal Information (Boxes 15 – 19)

15. CRP Title: Enter a short title for the change being requested.

16. CRP Class: Check the box appropriate for this Change Request Proposal dependant upon criteria defined below: (The CRP Class is not the same, and is not related to the three Categories of Section 3.1 that indicate how the smart card will be used.)

Class I changes require DON SC CCB and SCSCG endorsement, and DOD CIO approval. A Class I CRP is required to make changes in baseline configuration that have an immediate implementation need and affect warfighting readiness such as:

- Make a significant and measurable effectiveness change in the operational capabilities of logistics supportability
- Reflect changes in DOD information technology (IT) policy
- Implement a new or changed regulatory requirement with stringent completion date requirements issued by an authority higher than that of the functional proponent

Time sensitive mission critical or readiness enhancing modifications are Class I. The DON eBUSOPSOFF will coordinate activities supporting submission of Class I proposals. Class I change requests are required to:

- Correct technical deficiencies
- Add or modify functional requirements
- Reflect changes in information technology (IT) policy
- Effect a change, which is necessary in order to make a critical near time decision
- Implement a new or changed regulatory requirement with stringent completion date requirements issued by an authority higher than that of the functional proponent

Class II changes must be coordinated through the DON SC CCB and approved by the DMDC ACO. Class II changes, by their nature, are minor, and do not affect readiness. The DON eBUSOPSOFF will coordinate activities supporting submission of the Class II proposals.
Class II CRPs are required to:

- Effect substantial life cycle cost savings,
- Add or delete architectural attributes,
- Provide change information on all current applications,
- Change baseline configuration to comply with updated Joint Technical Architecture (JTA).

17. CRP Priority: The CRP originator assigns priority of urgent or routine to indicate the urgency with which the CRP is to be reviewed, evaluated, and implemented. Class II CRPs will always have a routine priority.

For urgent matters, the review and evaluation process should be completed within 30 days. In the event a consensus decision is not possible within an expedited normal process, special sessions of the DON SC CCB and SCSCG may be required. Implementation of an urgent change will cause developmental and procurement schedules to be altered to address the new requirement in a timely manner.

Class II or III (routine) proposals should proceed through the review and evaluation cycle within a 60-day period. Implementation of a routine change will be introduced in developmental or procurement cycles at the earliest opportunity possible. Schedules will not be interrupted or altered for routine changes – only amended.

18. SC Configuration Items Impacted: Select the SC configuration items that will be impacted by this change proposal.

19. Description of Change: Briefly describe the proposed change, include:

a. Function / purpose of the proposal

b. Requirement(s) satisfied
    i. Directives
c. Scope of the proposal (DOD, DON, USN, USMC, etc)
d. User population
e. Life Cycle Manager
f. Alternatives to the SC considered to fulfill this requirement
g. Current and out-year funding requirements

Section IV – Supporting Documentation (Boxes 20-21)

20. Attachments: List any documents that are submitted in support of the CRP. The level of detail and coverage of each of these documents will vary according to the complexity inherent to the CRP. CNO N61 or HQMC C4/CIO, as appropriate, should be consulted concerning adequate supporting documentation coverage. The following documents should be attached:

a. A concise Concept of Operations

b. System considerations, to include (as a minimum):

    1) Data storage requirements

    2) Integration issues

    3) SC data element requirements

    4) System support requirements

c. Business Case Analysis:

    1) Environmental Assessment
    2) Cost Analysis
    3) Benefit Analysis
    4) Risk Analysis
    5) Impact of Investment

21. Service Approval Process: This shaded space will be used at the discretion of CNO N61 and HQMC C4/CIO to verify adherence to the approval process directed by the Services.

Signature (Boxes 22, 23)

22. Submitting Officer Signature: Self explanatory
23. Date: Enter the date the CRP is signed and submitted for processing.